

#5



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

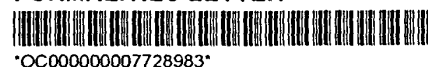
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/051,874	01/16/2002	Muralidhara Padigaru	21402-245 (Cura-545)

MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111



CONFIRMATION NO. 7951

FORMALITIES LETTER



OC00000007728983

Date Mailed: 03/27/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at


09/27/2002 SSITHIB1 00000036 10051874

02 FC:105

130.00 0P

patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

Express Mail Label No.: EU282822995US

Date of Deposit: September 25, 2002

ATTORNEY DOCKET NO.: 21402-245 (Cura 545)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Padigaru *et al.*

SERIAL NUMBER: 10/051,874

EXAMINER: Not Yet Assigned

FILING DATE: January 16, 2002

ART UNIT: 1635

TITLE: PROTEINS, POLYNUCLEOTIDES ENCODING THEM AND METHODS OF USING SAME



September 25, 2002
Boston, Massachusetts

Box Sequence
Commissioner for Patents
Washington, DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

In response to the Notice To File Missing Parts of Nonprovisional Application mailed March 27, 2002, Applicants submit herein an executed Combined Declaration and Power of Attorney form, payment of the surcharge of \$130.00 (Check # 1231) as set forth in 37 C.F.R. §1.16(e), a copy of the Notice to File Missing Parts of Nonprovisional Application, Preliminary Amendment, Petition for Four Month Extension of Time, a check in the amount of \$1,440.00 (Check # 1230) to cover the Petition fee, Statement of Support of Computer Readable Form Submission, electronic and paper copy of sequence listing. This response is due on or before September 27, 2002, with a four-month extension.

Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 21402-245 (Cura 545).

Respectfully submitted,

Dated: September 25, 2002

Eric Sinn

Ivor R. Elrifi, Reg. No. 39,529
Eric Sinn, Reg. No. 40,177
Attorneys for Applicants
c/o MINTZ, LEVIN
One Financial Center
Boston, Massachusetts 02111
Tel: (617) 542-6000
Fax: (617) 542-2241



30623

PATENT TRADEMARK OFFICE

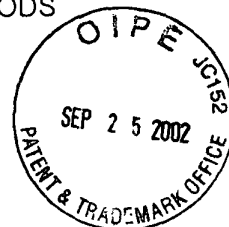
Express Mail Label No.: EU282822995US
Date of Deposit: September 25, 2002

09-26-02 Receipt #
Attorney Docket No. 21402-245 (Cura 545)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Padigaru et al.
SERIAL NUMBER : 10/051,874 EXAMINER: Not Yet Assigned
FILING DATE : January 16, 2002 ART UNIT: 1635
FOR : PROTEINS, POLYNUCLEOTIDES ENCODING THEM AND METHODS
OF USING SAME

Box Missing Parts
Commissioner for Patents
Washington, DC 20231



TRANSMITTAL LETTER

Transmitted herewith for filing in the above-referenced patent application are the following documents:

1. Response to Notice to File Missing Parts under 37 CFR 1.52 or 1.53 (1 pg.);
2. Copy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.);
3. Check No. 1231 in the amount of \$130.00 to cover the surcharge;
4. Executed Combined Declaration and Power of Attorney five counterparts - (45 pgs.);
5. Check No. 1230 in the amount of \$1,440.00 to cover the extension of time;
6. Petition for Four Month Extension of Time (1 pg.);
7. Computer Readable Form Copy of the "Sequence Listing" (1 diskette);
8. Statement in Support of Computer Readable Form Submission (1 pg.);
9. Paper Copy of "Sequence Listing" (369 pgs.);
10. Preliminary Amendment (1 pg.);
11. Request for Correction of Filing Receipt (2 pgs.);
12. Copy of Original Filing Receipt (3 pgs.);
13. Copy of Corrected Filing Receipt (3 pgs.); and
14. Return postcard.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 617-542-6000, Boston, Massachusetts. A duplicate copy of this transmittal letter is enclosed.

The Commissioner is authorized to charge any additional fees that may be due, or to credit any overpayment, to the undersigned's account, Deposit Account No. 50-0311, Ref. No. 21402-245 (Cura 545).

Respectfully submitted,

Eric Sinn

Ivor R. Elrifi, Reg. No. 39,529
Eric Sinn, Reg. No. 40,177
Attorney/Agent for Applicants
c/o MINTZ, LEVIN

One Financial Center
Boston, Massachusetts 02111
Tel: (617) 542-6000
Fax: (617) 542-2241

Date: September 25, 2002

EU 282822995 US



30623

PATENT TRADEMARK OFFICE

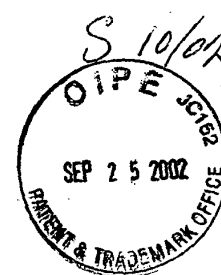
Express Mail Label No.: EU282822995US
Date of Deposit: September 25, 2002

9-26-02
Attorney Docket No. 21402-245 (CURA 545)

Receipt

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Padigaru, *et al.*
ASSIGNEE: NOT YET ASSIGNED
SERIAL NUMBER: 10/051,874 EXAMINER: NOT YET ASSIGNED
FILING DATE: January 16, 2002 ART UNIT: 1635
FOR: PROTEINS, POLYNUCLEOTIDES ENCODING THEM AND METHODS OF USING
SAME



September 25, 2002
Boston, Massachusetts

Application Processing Division's
Customer Correction Branch
Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

1. Applicants request a Corrected Filing Receipt for the above-mentioned patent application. Applicants enclose a copy of the Filing Receipt with the corrections noted thereon. Issuance of a corrected filing receipt is respectfully requested.

2. There are errors with respect to the following data, which

☐ incorrectly entered

and/or

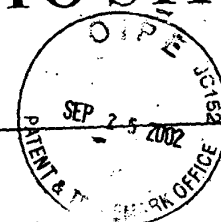
☒ omitted.

Error in

1. ☐ Applicants' name
2. ☐ Applicants' address
3. ☐ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☐ Foreign/PCT Application Re:
7. ☐ Continuing Data
8. ☒ Other--Under Domestic
Priority Data as claimed by Applicant
(needs to be added)

DISK TO STIC

DATE:



AND CLAIMS BENEFIT OF 60/345,202 11/9/2001

Applicants: Padigaru et al.
U.S.S.N. 10/051,874

3. ☒ The correction is not due to any error by Applicants and Applicants believe that no fee is due. However, the Commissioner is authorized to charge any additional fees that may be due, or to credit any overpayment, to Deposit Account No. 50-0311, Ref. No. 21402-245 (Cura 545).

OR

- ☐ At least one of the above corrections is due to applicants' error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

- ☐ Enclosed is check for \$25.00.
☐ Charge Deposit Account No. 50-0311, Ref. No. _____ - ____ the sum of \$25.00.

4. Other documents:

- ☒ Copy of Filing Receipt with changes noted thereon.

September 25, 2002

Respectfully submitted,

Eric Sinn

Ivor R. Elrifi, Reg. No. 39,529
Eric Sinn, Reg. No. 40,177
Attorney for Applicants
MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, Massachusetts 02111
Tel: (617) 542-6000
Fax: (617) 542-2241



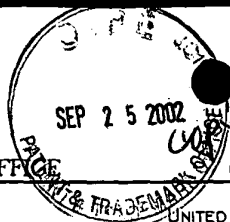
30623

PATENT TRADEMARK OFFICE

NYC 246841v1



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/051,874	01/16/2002	1635	1202	[REDACTED]		41	4

MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111

<input checked="" type="checkbox"/> Data Entry	Done By <u>TW</u>
<input type="checkbox"/> Docket Entry	
<input type="checkbox"/> Docket Cross Off	
<input type="checkbox"/> Previously Entered	
<input type="checkbox"/> No Docketing Req	
<input type="checkbox"/> ELITE	
<input type="checkbox"/> Annuities	

CONFIRMATION NO. 7951

FILING RECEIPT



OC000000007728982

Date Mailed: 03/27/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Muralidhara Padigar, Branford, CT;
John P. Alsobrook II, Madison, CT;
Steven D. Colman, Guilford, CT;
Kimberly A. Spytek, New Haven, CT;
Ferenc Boldog, Newington, CT;
Corine A.M. Vernet, Branford, CT;
Li Li, Branford, CT;
Suresh G. Shenoy, Branford, CT;
Stacie J. Casman, North Haven, CT;
Xiaojia Sasha Guo, Branford, CT;
Shlomit R. Edinger, New Haven, CT;
John R. MacDougall, Hamden, CT;
Uriel M. Malyankar, Branford, CT;
Meera Patturajan, Branford, CT;
Richard A. Shimkets, Guilford, CT;
Carol E. A. Pena, New Haven, CT;
Velizar T. Tchernev, Branford, CT;
Bryan D. Zerhusen, Branford, CT;
Isabelle Millet, Milford, CT;
Charles E. Miller, Guilford, CT;
Denise M. Lepley, Branford, CT;
Glennnda Smithson, Guilford, CT;
Jason C. Baumgartner, New Haven, CT;
John L. Herrmann, Guilford, CT;
John A. Peyman, New Haven, CT;
Linda Gorman, Branford, CT;
Peter D. Mezes, Old Lyme, CT;

Copy to NY Office

Ramesh Kekuda, Stamford, CT;
Raymond J. Taupier JR., East Haven, CT;
Valerie Gerlach, Branford, CT;
William M. Grosse, Branford, CT;
Xiaohong Liu, Branford, CT;
Karen Ellerman, Branford, CT;
Mark Rothenberg, Clinton, CT;
David J. Stone, Guilford, CT;
Catherine E. Burgess, Wethersfield, CT;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/261,376 01/16/2001
AND CLAIMS BENEFIT OF 60/268,595 02/14/2001
AND CLAIMS BENEFIT OF 60/325,306 09/27/2001
AND CLAIMS BENEFIT OF 60/262,587 01/18/2001
AND CLAIMS BENEFIT OF 60/272,409 02/28/2001
AND CLAIMS BENEFIT OF 60/262,454 01/18/2001
AND CLAIMS BENEFIT OF 60/276,777 03/16/2001
AND CLAIMS BENEFIT OF 60/291,672 05/17/2001
AND CLAIMS BENEFIT OF 60/330,336 10/18/2001
AND CLAIMS BENEFIT OF 60/265,530 01/31/2001

Foreign Applications

If Required, Foreign Filing License Granted 03/27/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Proteins, polynucleotides encoding them and methods of using the same

Preliminary Class

435

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time before or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



copy to MKH(N)
original to DEJ(BOS)

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/051,874	01/16/2002	1635	1202	(113-545)		41	4

MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111

<input checked="" type="checkbox"/> Data Entry	Done By
<input checked="" type="checkbox"/> Docket Entry	<i>Jan</i>
<input checked="" type="checkbox"/> Docket Cross Off	
<input type="checkbox"/> Previously Entered	
<input type="checkbox"/> No Docketing Req	
<input type="checkbox"/> ELITE	
<input type="checkbox"/> Annuities	

CORRECTED CONFIRMATION NO. 7951

FILING RECEIPT



OC000000007728982

Date Mailed: 03/27/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Muralidhara Padigar, Branford, CT;
John P. Alsobrook II, Madison, CT;
Steven D. Colman, Guilford, CT;
Kimberly A. Spytek, New Haven, CT;
Ferenc Boldog, Newington, CT;
Corine A.M. Vernet, Branford, CT;
Li Li, Branford, CT;
Suresh G. Shenoy, Branford, CT;
Stacie J. Casman, North Haven, CT;
Xiaojia Sasha Guo, Branford, CT;
Shlomit R. Edinger, New Haven, CT;
John R. MacDougall, Hamden, CT;
Uriel M. Malyankar, Branford, CT;
Meera Patturajan, Branford, CT;
Richard A. Shimkets, Guilford, CT;
Carol E. A. Pena, New Haven, CT;
Velizar T. Tchernev, Branford, CT;
Bryan D. Zerhusen, Branford, CT;
Isabelle Millet, Milford, CT;
Charles E. Miller, Guilford, CT;
Denise M. Lepley, Branford, CT;
Glennnda Smithson, Guilford, CT;
Jason C. Baumgartner, New Haven, CT;
John L. Herrmann, Guilford, CT;
John A. Peyman, New Haven, CT;
Linda Gorman, Branford, CT;
Peter D. Mezes, Old Lyme, CT;

Copy to NY Office

Ramesh Kekuda, Stamford, CT;
Raymond J. Taupier JR., East Haven, CT;
Valerie Gerlach, Branford, CT;
William M. Grosse, Branford, CT;
Xiaohong Liu, Branford, CT;
Karen Ellerman, Branford, CT;
Mark Rothenberg, Clinton, CT;
David J. Stone, Guilford, CT;
Catherine E. Burgess, Wethersfield, CT;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/261,376 01/16/2001
AND CLAIMS BENEFIT OF 60/268,595 02/14/2001
AND CLAIMS BENEFIT OF 60/325,306 09/27/2001
AND CLAIMS BENEFIT OF 60/262,587 01/18/2001
AND CLAIMS BENEFIT OF 60/272,409 02/28/2001
AND CLAIMS BENEFIT OF 60/262,454 01/18/2001
AND CLAIMS BENEFIT OF 60/276,777 03/16/2001
AND CLAIMS BENEFIT OF 60/291,672 05/17/2001
AND CLAIMS BENEFIT OF 60/330,336 10/18/2001
AND CLAIMS BENEFIT OF 60/265,530 01/31/2001

→ AND CLAIMS BENEFIT OF
60/345,202 11/9/2001

Foreign Applications

If Required, Foreign Filing License Granted 03/27/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Proteins, polynucleotides encoding them and methods of using the same

Preliminary Class

435

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).